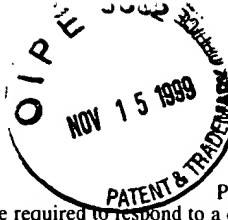


Please type a plus sign inside this box -->



PTO/SB/21 (12/97)

Approved for use through 09/30/00 OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b>  (To be used for all correspondence after initial filing)		Application Number	09/409,163
		Filing Date	09/30/1999
		First Named Inventor	GAO, ET AL.
		Group Art Unit	2743
		Examiner Name	NOT ASSIGNED
TOTAL NUMBER OF PAGES IN THIS SUBMISSION	9	Attorney Docket Number	037422.P006

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Response <input type="checkbox"/> After Final <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts Under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers <input type="checkbox"/> Drawings <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) & Accompanying Petition <input type="checkbox"/> To Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input checked="" type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication Group <input type="checkbox"/> Appeal Communication to Board of Appeals & Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below) Postcard Copy of form PTO-1533
Remarks In the event that an extension of time is required to prevent this application from being abandoned, such extension is hereby requested and authorization is hereby given to charge the appropriate fee to Deposit Account No. 02-2666.		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual Name	BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN, LLP George W Hoover, Reg. No 32,992
Signature	
Date	November 9, 1999

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:			November 9, 1999
Typed or Printed Name	D.L. Mendrygal		
Signature		Date	November 9, 1999

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**THE UNITED STATES PATENT AND TRADEMARK OFFICE**

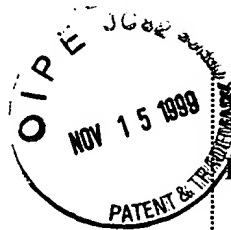
In Re Application of:

**GAO, ET AL.**

Serial No.: **09/409,163**

Filed: **09/30/1999**

For: **BAND-LIMITED ADAPTIVE  
FEEDBACK CANCELLER FOR  
HEARING AIDS**



Art Unit: **2743**

Examiner: **not assigned**

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

Attn: Box Missing Parts  
Assistant Commissioner  
for Patents  
Washington, D. C. 20231

Dear Sir:

In response to the communication from the Patent Office mailed August 10, 1999 in connection with the above-referenced application, enclosed herewith are the following:

1. a return copy of Form PTO-1533;
2. a Declaration and Power of Attorney executed by the inventors;
3. a Verified Statement Claiming Small Entity Status – Small Business Concern executed by the Vice President of House Ear Institute;
4. an Assignment to House Ear Institute and Recordation Form Cover Sheet;
5. a check in the amount of \$808.00, which includes the small entity surcharge for filing the Declaration on a date later than the filing date of the application and the basic filing fee; and

6. a check in the amount of \$40.00 for recordation of the Assignment.

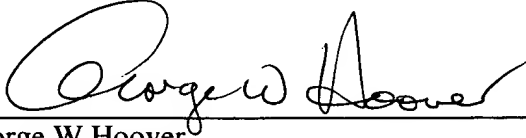
Please charge any additional fees or credit any overpayments to our deposit account no.  
02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: November 9, 1999

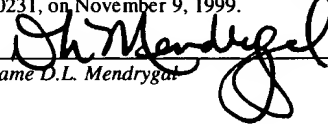
By: \_\_\_\_\_

  
George W Hoover  
Reg. No. 32,992

12400 Wilshire Boulevard  
Seventh Floor  
Los Angeles, California 90025  
(310) 207-3800

**CERTIFICATE OF MAILING:**

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Name D.L. Mendryga

November 9, 1999  
Date

NOV 15 1999  
PATENT & TRADEMARK OFFICE

PTO/SB/17 (12/97)

Approved for use through 09/30/00 OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>FEE TRANSMITTAL</b>  Note: Effective October 1, 1997 Patent fees are subject to annual revision		<i>Complete If Known</i>	
		Application Number 09/409,163	Filing Date 09/30/1999
		First Named Inventor GAO, ET AL.	Group Art Unit 2743
		Examiner Name NOT ASSIGNED	Attorney Docket Number 037422.P006
TOTAL AMOUNT OF PAYMENT (\$) <b>848.00</b>			

<b>METHOD OF PAYMENT (check one)</b>  1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees & credit any overpayments to:  Acct # <u>02-2666</u> Acct Name <u>Blakely Sokoloff Taylor &amp; Zafman LLP</u> <input checked="" type="checkbox"/> Charge any add'l fee required under 37 CFR 1.16 & 1.17 <input type="checkbox"/> Charge issue fee set in 37 CFR 1.18 at the mailing of the Notice of Allowance  2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other				<b>FEE CALCULATION (continued)</b>  3. Additional Fees																																																	
<b>Fee Calculation</b>  1. Filing Fee				<table border="1"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Code</th> <th>Fee (\$)</th> <th>Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>101</td> <td>760</td> <td>201</td> <td>380</td> <td>Utility filing fee</td> <td>380</td> </tr> <tr> <td>106</td> <td>310</td> <td>206</td> <td>155</td> <td>Design filing fee</td> <td></td> </tr> <tr> <td>107</td> <td>480</td> <td>207</td> <td>240</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td>108</td> <td>760</td> <td>208</td> <td>380</td> <td>Reissue filing fee</td> <td></td> </tr> <tr> <td>114</td> <td>150</td> <td>214</td> <td>75</td> <td>Provisional filing fee</td> <td></td> </tr> <tr> <td colspan="5">Subtotal (1)</td> <td>(\$)<b>380.00</b></td> </tr> </tbody> </table>				Large Entity		Small Entity		Fee Description	Fee Paid	Code	Fee (\$)	Code	Fee (\$)	101	760	201	380	Utility filing fee	380	106	310	206	155	Design filing fee		107	480	207	240	Plant filing fee		108	760	208	380	Reissue filing fee		114	150	214	75	Provisional filing fee		Subtotal (1)					(\$) <b>380.00</b>
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Express Mail Receipt No.:				Subtotal (3) (\$) <b>105.00</b>																																																	
SUBMITTED BY: BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP				COMPLETE (if applicable)																																																	
Name <u>GEORGE W HOOVER</u>				Reg. Number <u>32,992</u>																																																	
Signature <u>George W Hoover</u>				Date <u>November 9, 1999</u> Deposit Acct User ID																																																	

\*Highest number of claims previously paid for if an amendment is being transmitted.

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**UNITED STATES DEPARTMENT OF COMMERCE**  
**Patent and Trademark Office**  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	PAYMENT RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/409,163 09/30/99 GAO

S 037422.P006

0242/1022

GEORGE W HOOVER  
BLAKELY SOKOLOFF TAYLOR AND ZAFMAN LLP  
7TH FLOOR  
12400 WILSHIRE BOULEVARD  
LOS ANGELES CA 90025-1026

NOT ASSIGNED

2743

**DATE MAILED:**

10/22/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
*Filing Date Granted*

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this **NOTICE to avoid abandonment**.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 141,200.

- ☒ 1. The statutory basic filing fee is:
- ☒ missing.
- ☒ insufficient.

Applicant must submit \$ 1000 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☒ 2. The following additional claims fees are due:

\$ 648.00 for 310 total claims over 20.

\$ 98.00 for 1 independent claims over 3.

\$\_\_\_\_\_ for multiple dependent claim surcharge.

**Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.**

- ☒ 3. The oath or declaration:  
☒ is missing or unsigned.

☐ does not cover the newly submitted items.

An oath of declaration in compliance with 37 CFR 1. 63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42; 1.43 or 1.47.

**A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.**

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

*An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted Inventor(s), identifying this application by the above Application Number and Filing Date, is required.*

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).
- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.
- ☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k) previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER:

**Direct the reply and any questions about this notice to "Attention: Box Missing Parts."**

**A copy of this notice *MUST* be returned with the reply.**

**Customer Service Center**  
**Initial Patent Examination Division (703) 308-1202**